

FORM PTO-1449	SERIAL NO. 10/001,237	CASE NO. 4672/363
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE 10/30/2001	GROUP ART UNIT 3628
(use several sheets if necessary)		APPLICANT(S): Neal Brady et al.

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
FP	A1	2003/10093343	05/2003	Huttenlocher et al.	_____	_____
FP	A2	6,539,362	03/2003	Patterson et al.	_____	_____
FP	A3	6,049,783	04/2000	Segal et al.	_____	_____
FP	A4	5,924,082	07/1999	Silverman et al.	_____	_____

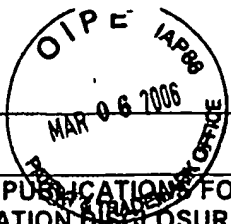
FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER INITIAL	OTHER ART - NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>					
FP	A5	Tauli, Tom. Investing in IPOs: Version 2.0. Bloomberg Press. Princeton. NH. 2001. pp. 40 - 41				
FP	A6	Dalton, John M. How The Stock Market Works. New York Institute of Finance. Paramus. NJ. 1993. pp. 121 - 126 and 148				
FP	A7	Curley, Michael T. & Walker, Joseph A. Barron's How To Prepare For The Stockbroker Examination Series 7. 2nd Edition, Barron's Educational Series. Hauppauge, NY. 2000. p. 181.				
FP	A8	Kraynak, Joe. The Complete Idiot's Guide to PCs. 8th Edition. Alpha Books. September 1, 2001. pp. 186 - 187				
FP	A9	Jennings, Nicholas R. & Woolridge, Michael J. Agent Technology. Springer. Heidelberg, NY. April 1, 2000. pp. 25 - 26 and 267 - 268				
FP	A10	The Options Institute. Options: Essential Trading Concepts & Trading Strategies. McGraw-Hill. 1999. pp. 117 - 118				
FP	A11	O'Hara, Maureen. Market Microstructure Theory. Blackwell Publishing Ltd. Malden MA. 1997. pp. 7 - 9				
FP	A12	Angel, James J, Gastineau, Gary L & Weber, Clifford J. Equity Flex Options: The Financial Engineer's Most Versatile Tool. Frank J. Fabozzi Associates. New Hope, PA. 1999. pp. 67 - 68				
FP	A13	Williams, Michael S. & Hoffman, Amy. Fundamentals of the Options Market. McGraw-Hill Companies. New York, NY. 2001. pp. 4-5, 56-58 and 87-89				
FP	A14	Turner, Martyn. The practical side of currency option dealing. Euromoney Treasury Manager. London, England. November 5, 1993. p. 15				
FP	A15	Sales, Robert. Futures vet sees homogenized order-entry and execution in crystal ball. Wall Street & Technology. New York, NY. vol. 18, iss. 7. July 2000. p. 126				

EXAMINER <i>FP</i>	DATE CONSIDERED <i>5/26/06</i>
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

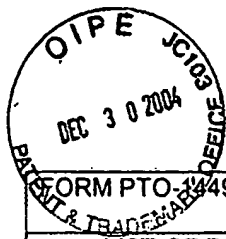


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EXAMINER INITIAL	OTHER ART - NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)	
FP	A16	Turban, Efraim, McLean, Ephraim & Wetherbe, James. Information Technology for Management: Improving Quality and Productivity. John Wiley & Sons. 1996. pp. 237 and 310
FP	A17	Chance, Don M. An Introduction to Derivatives: 4th Edition. The Dryden Press, Harcourt Brace & Company. Orlando, Florida. 1998, pp. 5,243 and 498
FP	A18	Crawford, William B. Globex trading network ready for takeoff futures markets here could be recast. Chicago Tribune. Chicago, Illinois. June 21, 1992. p.1
FP	A19	Cooper, Alan. About Fare: The Essentials of User Interface Design. IDG Books Worldwide. Foster City. CA. 1995. p. 203
FP	A20	Murray, Rob. Money-Go-Round: 'Best price' share trading from Barclays. The Daily Telegraph. London, UK. November 21, 1998. p. 9

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE October 30, 2001	GROUP ART UNIT 2167
(use several sheets if necessary)		APPLICANT(S): Neal Brady et al.

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
<i>FP</i>	B1	US 2001/0032163 A1	10/18/01	Fertik et al.	705/37	12/04/00
<i>FP</i>	B2	US 2002/0069155 A1	06/06/02	Nafeh et al.	705/37	08/06/01
<i>FP</i>	B3	US 2003/0069836 A1	04/10/03	Penney et al.	705/37	09/10/02

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